

09-20-01

PTO/SB/05 (11-00)

Approved for use through 10/31/02. OMB 0651-0032

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UTILITY
PATENT APPLICATION
TRANSMITTAL

Attorney Docket No. 373722001200

First Inventor Jane LAM

Title OPTICAL DEVICES FOR CONTROLLING INSERTION LOSS

Express Mail Label No. EL676223931US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL676223931US

Date of Deposit: September 18, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Tamara Alcaraz

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17) (1 page + duplicate for fee processing) (Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]
(preferred arrangement set forth below)
- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 9]
5. ☒ Oath or Declaration [Total Pages 2]
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76 (4 pages)

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. ☐ Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s)) (7 pages)
10. ☒ 37 CFR 3.73(b) Statement (7 pages) ☒ Power of Attorney (3 pages)
11. ☐ English Translation document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (2 postcards) Should be specifically itemized
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application information: Examiner Group / Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

25226

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

Name	Sanjay S. Bagade				
Address	Morrison & Foerster LLP				
	755 Page Mill Road				
City	Palo Alto	State	California	Zip Code	94304-1018
Country	United States of America	Telephone	(650) 813-5720	Fax	(650) 494-0792
Name (Print/Type)	Sanjay S. Bagade			Registration No. (Attorney/Agent)	42,280
Signature				Date	September 18, 2001

FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Jane LAM
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	373722001200

TOTAL AMOUNT OF PAYMENT

(\$471

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 03-1952
Deposit Account Name: Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$355
106	320	206	160	Design filing fee	\$0
107	490	207	245	Plant filing fee	\$0
108	710	208	355	Reissue filing fee	\$0
114	150	214	75	Provisional filing fee	\$0

SUBTOTAL (1) (\$355)

2. EXTRA CLAIM FEES

Total Claims	24	-20** =	Extra Claims	4	x	Fee from below	\$9	=	Fee Paid	\$36
Independent Claims	4	-3** =	1	x		\$40		=	\$40	
Multiple Dependent						\$135		=	\$0	

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$76)

** or number previously paid, if greater; For reissues, see above.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	\$0
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$0
139	130	139	130	Non-English specification	\$0
147	2,520	147	2,520	For filing a request for ex parte reexamination	\$0
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	\$0
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	\$0
115	110	215	55	Extension for reply within first month	\$0
116	390	216	195	Extension for reply within second month	\$0
117	890	217	445	Extension for reply within third month	\$0
118	1,390	218	695	Extension for reply within fourth month	\$0
128	1,890	228	945	Extension for reply within fifth month	\$0
119	310	219	155	Notice of Appeal	\$0
120	310	220	155	Filing a brief in support of an appeal	\$0
121	270	221	135	Request for oral hearing	\$0
138	1,510	138	1,510	Petition to institute a public use proceeding	\$0
140	110	240	55	Petition to revive - unavoidable	\$0
141	1,240	241	620	Petition to revive - unintentional	\$0
142	1,240	242	620	Utility issue fee (or reissue)	\$0
143	440	243	220	Design issue fee	\$0
144	600	244	300	Plant issue fee	\$0
122	130	122	130	Petitions of the Commissioner	\$0
123	50	123	50	Petitions related to provisional applications	\$0
126	180	126	180	Submission of Information Disclosure Stmt	\$0
581	40	581	40	Recording each patent assignment per properties (times number of properties)	\$40
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	\$0
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	\$0
179	710	279	355	Request for Continued Examination (RCE)	\$0
169	900	169	900	Request for expedited examination of a design application	\$0

Other fee (specify)

\$0

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$40)

SUBMITTED BY

Name (Print/Type)

Sanjay S. Bagade

Registration No.
(Attorney/Agent)

42,280

Complete (if applicable)

Telephone

(650) 813-5720

Signature

Sanjay S. Bagade

Date

September 18, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.